



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER FOR PATENTS
P.O. Box 1450
Alexandria, Virginia 22313-1450
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/552,345	04/19/2000	Eugene Amdur	DSC-001	3244
7733	7590	07/28/2005	EXAMINER	
WALKER & JOCKE, L.P.A. 231 SOUTH BROADWAY STREET MEDINA, OH 44256			TRAN, ELLEN C	
			ART UNIT	PAPER NUMBER
			2134	

DATE MAILED: 07/28/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.

09/552,345

Applicant(s)

AMDUR ET AL.

Examiner

Ellen C. Tran

Art Unit

2134

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 06 May 2005.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 25-30, 45, 54 and 55 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 25-30, 45, 54, and 55 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
 - ☐ Certified copies of the priority documents have been received in Application No. _____.
 - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- * See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|--|---|
| 1) <input type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)
Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____ |

DETAILED ACTION

1. This action is responsive to communication: amendment filed 6 May 2005 with recognition of a filing date of 19 April 2000.
2. Claims 25-30, 45, 54, and 55 are currently pending in this application. Claims 25, 29, and 54 are independent claims. Claims 29 and 40 were amended to correct spelling error. Claims 1-24, 31-44, 46-53, 56-63 are withdrawn.

Response to Arguments

3. Applicant's arguments with respect to claims 25-30, 45, 54, and 55 have been considered but they are not found persuasive.

With respect to applicant's argument on page 24, "In comparison, the disclosure of the '419 reference describes the use of decision trees to define access rules for a firewall ... The approach of the '419 reference is therefore submitted to be quite different from that recited in the claims, which represents access policies in a decision tree manner at the grid GUI level". The Office disagrees in the application the following is claimed in the independent claim "the method comprising the steps of displaying, on a computer display unit, a grid having nodes, laid out on a first and on a second axis displaying, on the grid, unit user labels corresponding to the user data, each user label labeling nodes aligned relative to the first axis on the grid and displaying on the grid resource labels ... each resource label labeling nodes aligned relative to the second axis of the grid". Turning to reference '419 as recited in the previous Office Action as well as below see "FIGS. 6a-6d, 7, and 8", the grid claimed is interpreted as the GUI shown. Note a GUI has two axes, the alignment of objects to an axis is well known in the art when

Art Unit: 2134

designing computer programs to be displayed on a computer screen. In addition it is also well known in the art there are many different ways to represent information. Take for example your typical Excel spreadsheet, the program itself allows the user to decide which axis is x and which is y as well as what information to be displayed. Therefore any argument applicant directs toward how information is displayed relative to axes is not persuasive. The reference was cited because it shows a program that is utilized when designing a security policy. In addition the reference shows a representation for individuals as well as groups relative to a resource and or service.

As to applicant's argument on page 24, "with respect to claim 54, it is noted that the claim expressly recites sets of defined users and of resources and services for a computer network. The '419 reference is concerned with control of communication across a firewall and is not generalized to deal with access of resources and services within a network as is set out in claim 54". The Office disagrees the claimed states "the computer network comprising defined users services and resources" clearly has the same meaning as '419 which is a security policy which defines access policies for various services and user programs. In addition to the below Office Action see col. 3, lines 66 through col. 4, line 20 "You can add a node to check for such criteria as the time of day, whether the connection uses the appropriate authentication or encryption, the user or groups initiating the connection request or the IP address or host of the connection ... In one such embodiment, ACLs consist of all the required kernel code. This is all the code that implements the rules themselves in the kernel including: ... Also included are the system calls that the user level programs need to use the ACLs".

As to applicant's argument beginning on page 24 "In addition, claim 54 defines the step of displaying nodes in a grid ... It is respectfully submitted that '419 reference teaches the display of an access rule using a decision tree that is not defined by nodes in a grid". The Office disagrees with argument '419 discusses "decision trees" when defining a security policy however the "decision tree" is then incorporated onto the GUI which displays the policy rules. As mentioned previously Note a GUI has two axes, the alignment of objects to an axis is well known in the art when designing computer programs to be displayed on a computer screen. In addition it is also well known in the art there are many different ways to represent information. Take for example your typical Excel spreadsheet, the program itself allows the user to decide which axis is x and which is y as well as what information to be displayed. Therefore any argument applicant directs toward how information is displayed relative to axes is not persuasive. The reference was cited because it shows a program that is utilized when designing a security policy. In addition the reference shows a representation for individuals as well as groups relative to a resource and or service.

As to applicant's arguments beginning on page 25-27 "In contrast, the '419 reference has no axis corresponding to user data ... not by the location of the node in a grid arrangement ... in which user labels are found on an axis in the grid ... neither describes nor suggest the use of business relationship tree data structure nor does it disclose the use of such structure to define axis label ... '419 reference does not specify a grid arrangement in which the location of the nodes has a significance for access policies". The Office disagrees, the reference was cited because it shows a program that is utilized when designing a security policy. In addition the

reference shows a representation for individuals as well as groups relative to a resource and or service on a GUI, which inherently has two axes.

As to applicant's argument on page 28 "The '261 reference does not disclose or suggest the use of grid arrangement for the display of access policies". The Office disagrees, '419 teaches the use of a GUI to display policy. The reference '261 was utilized because it shows the design of the icon. In addition '261 also has a GUI which is has the same meaning as the two axes.

As to applicant's argument on page 28, "the '261 reference does not teach the use of an access policy editor for defining nodes in a grid". The Office disagrees, '419 teaches the defining nodes in a grid, see below Office Action.

Claim Rejections - 35 USC § 102

4. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

5. Claims 25, 26, 27, 29, 54, and 55 are rejected under 35 U.S.C. 102(b) as being anticipated by Flint et al. U.S. Patent No. 6,453,419 (hereinafter '419).

As to independent claim 54, "A method for displaying access policies for a security service for a computer network" is taught in '419 col. 2, lines 6-13;

"the computer network comprising defined users" is shown in '419 col. 3, lines 10-13;

“services and resources” is disclosed in ‘419 col. 4, lines 14-19;

“the method comprising the steps of displaying, on a computer display unit, a grid having nodes, laid out on a first and on a second axis” is taught in ‘419 col. 2, lines 51-52 (the first and second axis are inherent in a GUI)

“displaying, on the grid, user labels corresponding to the user data, each user label labelling nodes aligned relative to the first axis of the grid, and” is shown in ‘419 col. 5, lines 29-31 (the alignment to first axis is inherent in a GUI);

“displaying on the grid resource labels corresponding to the services and resources data, each resource label labelling nodes aligned relative to the second axis of the grid, whereby the nodes in the grid correspond to access policies for the defined users and defined services and resources for the computer network, corresponding to the user and resource labels” is disclosed in ‘419 col. 6, lines 25-37.

As to dependent claim 55, this claim is directed to a program storage device performing the method of claim 54 and is therefore rejected along similar rationale.

As to independent claim 25, this claim is directed to a graphical user interface of the method of independent claim 54 and is therefore rejected along similar rationale.

As to dependent claim 26, **“further comprising a user definition component for defining a business relationship tree data structure representing a set of the defined users and in which the user labels displayed by the graphical user interface correspond to the business relationship tree data structure”** is taught in ‘419 col. 3, lines 31-47.

As to dependent claim 27, “further comprising a resource definition component for defining a resource tree data structure representing a set of the defined services and resources and in which the resource labels displayed by the graphical user interface correspond to the resource tree data structure” is shown in ‘419 col. 3, line 61 through col. 4, line 7.

As to independent claim 29, “A graphical user interface” is disclosed in ‘419 col. 2, lines 51-52;

“for a security service for a computer network” is taught in ‘419 col. 2, lines 6-13;

“the computer network comprising defined users represented by a business relationship tree data structure” is shown in ‘419 col. 3, lines 31-47;

“the computer network further comprising services and resources, represented by a resource tree data structure” is disclosed in ‘419 col. 6, lines 25-37;

“the graphical user interface comprising display means for displaying a grid comprising nodes laid out on a first axis and on a second axis” is shown in ‘419 col. 2, lines 51-52 (it is inherent in a GUI to have a first and second axis)

“user labels corresponding to the users in the business relationship tree data structure, each user label labelling nodes aligned relative to the first axis of the grid” is disclosed in ‘419 col. 5, lines 29-31;

“and resource labels corresponding to the defined services and resources in the resource tree data structure, each resource label labelling nodes aligned relative to the second axis of the grid, the nodes in the grid corresponding to access policies for the

defined users and defined services and resources, corresponding to the user and resource labels” is taught in ‘419 col. 6, lines 25-37.

Claim Rejections - 35 USC § 103

6. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

7. **Claims 28, 30, and 45** are rejected under 35 U.S.C. 103(a) as being unpatentable over ‘419 in further view of Wiegel U.S. Patent No. 6,484,261 (hereinafter ‘261).

As to dependent claim 28, the following is not taught in ‘419 **“further comprising an access policy editor for defining the nodes in the grid, the access policy editor comprising means for graphically assembling icons representing policy rules to define an access policy for a user-specified node”** however ‘261 teaches “The administrator can define a security policy once and apply it to a plurality of network devices. To accomplish this, the administrator prepares a symbolic policy and saves it persistently using a unique name. The name of the policy and an icon representing the policy are displayed in a tree in a pane of a user interface generated by the mechanism. The physical network available to the administrator is displayed as a separate tree of icons that represent network objects. The administrator moves the mouse cursor to the previously defined policy, clicks and holds down a mouse button, and drags the icon representing the policy over an icon representing a network object. When the administrator releases the mouse button, the policy is applied to the network object. In this

Art Unit: 2134

manner, policies can be dragged and applied to NT domains, users, groups, individual machines, or to arbitrary groups of machines residing in defined physical or logical networks” in col. 14, lines 36-52.

It would have been obvious to one of ordinary skill in the art at the time of the invention to modify a security service for a computer network taught in ‘419 to include a means to graphically design the user interface. One of ordinary skill in the art would have been motivated to perform such a modification to customize the display screen and therefore increase user flexibility see ‘261 col. 4, lines 38-44 “There is also a need for a way to construct a representation of a network security policy in which the representation is easily correlated with the policy. There is a particular need for such a mechanism that does not require the administrator to have knowledge about low-level network protocol details and about the particular network protocols that are used by application programs”.

As to dependent claim 30, “the grid comprising inheriting nodes and defining nodes, the defining nodes corresponding to access policies expressly defined by a policy manager, the graphical user interface further comprising means for displaying inherited access policies for inheriting nodes in the grid by propagating access policies from the defining nodes in the grid across the inheriting nodes below the defining nodes in each of the business relationship tree data structure and the resource tree data structure” is shown in ‘261 col. 13, lines 37-50 “Thereafter, administrators can reference the network objects in the Networks tree 720 when developing security policies. For example, the administrator can prepare a security policy that accepts or rejects a data packet depending on whether the destination of the packet is the software engineering group 726, the marketing group 728, or one

Art Unit: 2134

of the hosts 730 within a group. Accordingly, the security policies are kept simple because, rather than incorporating the network-specific information, the security policies inherit knowledge about the network from the Networks tree 720. Further, a security policy may be attached to a group of objects rather than only to a single object”.

As to dependent claim 45, this claim is directed to a program storage device performing the method of claims 25, 26, and 30; therefore it is rejected along similar rationale.

Conclusion

THIS ACTION IS MADE FINAL. Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a). A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of this final action.

8. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Ellen C Tran whose telephone number is

(571) 272-3842. The examiner can normally be reached from 6:00 am to 1:30 pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Gregory A Morse can be reached on (571) 272-3838. The fax phone number for the organization where this application or proceeding is assigned is (571) 273-8300.

Art Unit: 2134

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

Ellen Tran
Patent Examiner
Technology Center 2134
23 July 2005

David Y. Jung
Primary Examiner

[Handwritten signature]
[Handwritten signature]